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JC687 U.S. PTO

PTO/SB/05 (08-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Application Number	
First Inventor	Feng-Jing Chen
Title	Pharmaceutical Formulations and Systems for Improved Absorption and Multistage Release of Active Agents
Attorney Docket Number	6200-0004.20

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 149]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 7]
5. ☒ Oath or Declaration [Total Pages 4 unsigned]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No.: U.S. Serial No. 09/898,553 filed July 20, 2001, which is a continuation of U.S. Serial No. 09/258,654 filed Feb. 26, 1999 which issued as U.S. Patent No. 6,294,192 which issued on Sept. 25, 2001. This is also a CIP of U.S. Serial No. 09/877,541 filed June 8, 2001, which is a CIP of U.S. Serial No. 09/345,615 filed June 30, 1999 which issued as U.S. Patent No. 6,297,985 on July 31, 2001. This application is also a CIP of U.S. Serial No. 09/800,593 filed March 6, 2001, which is a divisional of U.S. Serial No. 09/447,690 filed Nov. 23, 1999 and issued as U.S. Patent No. 6,248,363 on June 19, 2001.

Prior application information:

Examiner: L. Channavajjala

Group / Art Unit: 1615

☐ This application claims priority to Provisional Application Serial No. \*, filed \*.

**For CONTINUATION OR DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 18. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number of Bar Code Label		or <input type="checkbox"/> Correspondence address below	
23980 (Insert Customer No. or Attach bar code label here)			
Name	Dianne E. Reed		
Address	REED & ASSOCIATES 800 Menlo Avenue, Suite 210		
City	Menlo Park	State	CA
Country	USA	Zip Code	94025
	Telephone	(650) 330-0900	Fax (650) 330-0980
Name (Print/Type)	Dianne E. Reed	Registration No. (Attorney/Agent)	31,292
Signature	<i>Dianne E. Reed</i>	Date	2/11/02

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commission for Patents, Box Patent Application, Washington, DC 20231.

### CERTIFICATE OF MAILING OR TRANSMISSION

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to "Commissioner for Patents, Box Patent Application, Washington, DC 20231."

"Express Mail" Mailing Label No.	EL 910 311 333 US	Date of Deposit	February 11, 2002
Name of Person Mailing Paper or Fee(Print/Type)	Will Sayo		
Signature	<i>Will Sayo</i>	Date	2-11-02

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 "Express Mail Post Office to Address" service under 37 CFR § 1.10 on the date indicated below  
 and is addressed to the Commissioner of Patents, Washington, DC 20231.

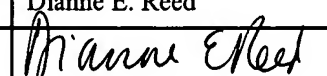
(Modified) PTO/SB/05 (12/97)

"Express Mail" Mailing Label No.: **EL 910 311 333 US**

Date of Deposit: **February 11, 2002**

Type/Printed Name of Person Mailing Paper or Fee: **Will Sayer**

Signature of Person Mailing Paper or Fee: 

<b>FEE TRANSMITTAL</b>		<b>Complete if Known</b>																																																																																																																																																																																											
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1. <input type="checkbox"/> The commissioner is hereby authorized to charge any additional fees and credit any overpayments to: Deposit Account No.: Deposit Account Name: <b>REED &amp; ASSOCIATES</b>  <input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the mailing of the Notice of Allowance		<b>3. ADDITIONAL FEES</b>  <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Larg e Fee Code</th> <th>Entit y Fee (\$)</th> <th>Small Fee Code</th> <th>Entit y Fee (\$)</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>216</td><td>200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>217</td><td>460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>218</td><td>720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>228</td><td>980</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>219</td><td>160</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>220</td><td>160</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>280</td><td>221</td><td>140</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - 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